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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/522,505	01/26/2005	Hin-Yiu Chung	10808/200	4478
7590 Anthony P Curtis Brinks Hofer Gilson & Lione Post Office Box 10395 Chicago, IL 60610			EXAMINER HARRISON, MONICA D	
			ART UNIT 2813	PAPER NUMBER
			MAIL DATE 10/04/2007	DELIVERY MODE PAPER

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

7/4

<b>Office Action Summary</b>	Application No. 10/522,505	Applicant(s) CHUNG ET AL.	
	Examiner Monica D. Harrison	Art Unit 2813	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 26 January 2005.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-17 is/are pending in the application.
  - 4a) Of the above claim(s) 13-17 is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-12 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 26 January 2005 is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
  - Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
  - Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
    - a) ☒ All    b) ☐ Some    \* c) ☐ None of:
    - 1. ☒ Certified copies of the priority documents have been received.
    - 2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
    - 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)  | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)   | 5) <input type="checkbox"/> Notice of Informal Patent Application                       |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)<br>Paper No(s)/Mail Date <u>1/26/05</u> . | 6) <input type="checkbox"/> Other: _____  |

## DETAILED ACTION

### *Election/Restrictions*

1. Claims 13-17 are withdrawn from further consideration pursuant to 37 CFR 1.142(b) as being drawn to a nonelected Group II, there being no allowable generic or linking claim. Election was made **without** traverse in the reply filed on 7/2/07.

### *Claim Rejections - 35 USC § 102*

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

Claims 1 and 4-10 are rejected under 35 U.S.C. 102(e) as being anticipated by Tokai et al (6,566,199 B2).

2. Regarding claim 1, Tokai et al discloses a method for oxidizing a layer, comprising the following steps, carried out without restriction in the order indicated: providing a substrate (Figure 14E, reference 81), which bears a layer which is to be oxidized, the layer which is to be oxidized being part of a layer stack which includes the substrate or a base layer at a base surface of the layer which is to be oxidized (Figure 14E, reference 82), and a neighboring layer which adjoins a surface of the layer to be oxidized which is remote from the base surface, and the layer which is to be oxidized being uncovered in an edge region of the layer stack (Figure 14E, reference 83); introducing the substrate which bears the layer stack into a heating device (Figure 1, reference 2)); passing an oxidation gas onto the substrate; heating the substrate to a

process temperature, the layer which is to be oxidized, as the oxidation time continues, being oxidized ever further from an edge into the layer stack under the influence of the oxidation gas at the process temperature, recording the process temperature during the processing via the temperature of a holding device which holds the substrate; and controlling the temperature of the substrate to a predetermined desired temperature or a predetermined desired temperature curve during the processing (column 2, lines 43-62; column 7, lines 1-12).

3. Regarding claim 4, Tokai et al discloses wherein a heat-up time of the heating device from a start of a heating operation until the process temperature is reached is less than five minutes, the process temperature is between 350°C and 450°C, and at least one of: a temperature of less than 50°C prevails in the heating device at the start of the heating operation, and a residence time of the substrate in the heating device is less than fifteen minutes (Figure 1).

4. Regarding claim 5, Tokai et al discloses wherein during the heating of the substrate to the process temperature at least one preheating step is carried out, in which the temperature in the heating device is held at a preheating temperature, which is lower than the process temperature and higher than a condensation temperature of the oxidation gas or a gas which has been admixed with the oxidation gas, for at least ten seconds, and wherein the oxidation gas starts to be admitted to the heating device before the preheating temperature is reached or at the preheating temperature (Figure 1).

5. Regarding claim 6, Tokai et al discloses wherein at least one of the holding devices is covered by a cover and the cover rests on an edge of the holding device or is held at a predetermined distance from the edge (Figure 1).

6. Regarding claim 7, Tokai et al discloses wherein the substrate has a circular base surface, and at least one of: the holding device, in a circumferential direction of the substrate, has a recess into which a ring is placed, and the heating device includes straight heating elements or spot-like heating elements (Figure 1).

7. Regarding claim 8, Tokai et al discloses wherein the heating device can achieve heating rates of greater than 8°C per second, wherein the layer stack includes a layer whose edge projects beyond the stack, and wherein the heating-up to process temperature is carried out at a heating rate of less than 6°C per second (Figure 1).

8. Regarding claim 9, Tokai et al discloses wherein the oxidation is interrupted before a desired oxidation width (is reached, wherein the oxidation width is recorded, and wherein a post-oxidation of the layer which is to be oxidized is carried out as a function of the recorded oxidation width (Figure 1).

9. Regarding claim 10, Tokai et al discloses wherein the oxidation gas contains oxygen in a form bonded to at least one other element, and wherein the level of molecular oxygen during processing is less than 1% (Figure 1).

### ***Claim Rejections - 35 USC § 103***

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

Claims 2, 3, 11 and 12 are rejected under 35 U.S.C. 103(a) as being unpatentable over Tokai et al (6,566,199 B2) in view of Tsuya et al (4,525,223).

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10. Regarding claims 2, 3, 11 and 12, Tokai et al discloses all claimed subject matter (Figure 1) except the substrate consisting of gallium arsenide (claim 2) the holding device containing graphite (claim 3), a thermocouple (claim 11) and a laser unit (claim 12).

Tsuya et al discloses the substrate consisting of gallium arsenide (column 3, line 17) the holding device containing graphite (column 26, line 11), a thermocouple (Figure 1, reference 6) and a laser unit (column 15, lines 59-61).

It would have been obvious, at the time the invention was made, for one having ordinary skill in the art, to modify Tokai et al, with the teachings of Tsuya et al, for the purpose of manufacturing a thin ribbon wafer of semiconductor material.

### ***Conclusion***

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Monica D. Harrison whose telephone number is 571-272-1959. The examiner can normally be reached on M-F 7:00am-3:30pm.


If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Carl Whitehead Jr. can be reached on 571-272-1702. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Monica D. Harrison  
AU 2813

mdh  
September 26, 2007

  
**CARL WHITEHEAD, JR.**  
**SUPERVISORY PATENT EXAMINER**  
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